ENCLOSURE B

REQUIREMENTS GENERATION PROCESS

1. Requirements Generation Process. The requirements generation process will be uniform throughout the Department of Defense. Specifically, the generation of requirements will consist of the following four distinct phases: 1) definition, 2) documentation, 3) validation, and 4) approval. As a system evolves from an MNS to a CRD (if applicable) through ORDs, there are differences in what is accomplished in each phase. A general description of each phase is provided below while specific MNS, CRD, and ORD procedures for each phase are described in the appropriate enclosures of this instruction. DODI 5000.2, Operation of the Defense Acquisition System, 23 October 2000, section 4.7.2, contains guidance that will be adhered to when developing and refining requirements documents.

a. Definition Phase. The definition phase defines, analyzes, evaluates, and justifies the development of a requirements document. For MNSs, the evaluation is best accomplished by a Mission Area Analysis (MAA) and Mission Need Analysis (MNA) or equivalent DOD component process. CRDs can use concept development studies, analysis expanded from the MAA/MNA for the mission area, inputs from exercises, operational experience, and experimentation. ORDs can use Analysis of Alternatives (AOA), demonstrations of military utility, and experimentation inputs.

b. Documentation Phase. The formal preparation and initial DOD component review of required and standardized documents in support of a defined mission need is the documentation phase. The MNS is a non-system-specific statement of operational capability need written in broad operational terms. The CRD captures the overarching requirements for a mission area that forms a family of systems (FOS) (e.g., space control, theater missile defense) or system-of-systems (SOS) (e.g., national missile defense). The ORD translates the MNS into more detailed and refined performance capabilities and characteristics of a proposed concept or system. Requirements evolution is depicted in Figure 4.

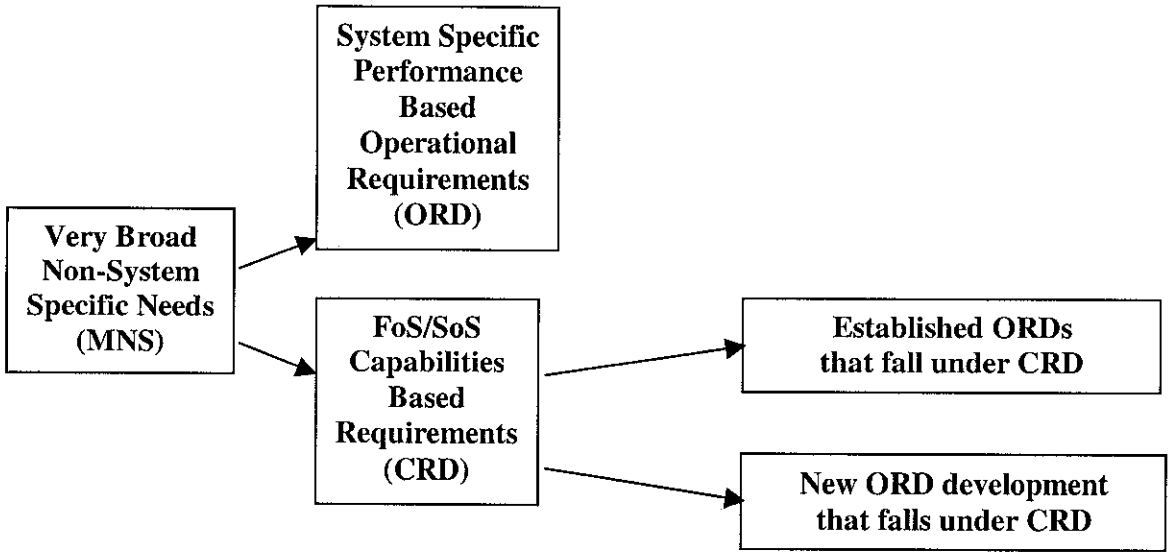

Figure 4. Requirements Documentation Evolution

c. Validation Phase. The validation phase is the formal review process of a requirements document, by an operational authority other than the user, to confirm the identified need and operational requirement. This review should include a careful analysis of the joint doctrine, organization, training, leadership, personnel, and facilities (DOTLPF) impacts and attendant requirements. The validation authority for MNSs, CRDs, and ORDs is dependent upon potential ACAT level and/or if a program is designated JROC special interest.

d. Approval Phase. The approval phase documents the approval authority's concurrence in the final validated document. Approval is a formal sanction that the validation process is complete and the identified need or operational capabilities described in the documentation are valid. Approval authority is dependent upon potential ACAT level, if designated JROC special interest, or if approval authority has been delegated.

2. Responsibilities

a. JROC. Title 10, section 181, the DOD 5000 series, and reference h specifically delineate the JROC's responsibilities. The JROC will assist the Chairman in identifying and assessing the priority of joint military requirements and acquisition programs to meet the National Military Strategy. The JROC reviews potential ACAT I/information assurance (IA) and JROC special interest programs to support the DAB/DOD CIO review process, respectively. The JROC also assists the Chairman in

considering alternatives to any acquisition program that has been identified to meet military requirements by evaluating performance, cost, and schedule. The JROC, at its discretion, may review any requirements document and ACAT II and below acquisition programs to resolve contentious or joint interest issues. The JROC will also review programs at the request of the Secretary of Defense, Deputy Secretary of Defense, Under Secretary of Defense for Acquisition, Technology, and Logistics (USD(AT&L)), or Assistant Secretary of Defense for Command, Control, Communications, and Intelligence (ASD(C3I)). The JROC Secretariat will notify the appropriate DOD component via a JROC Staffing Memorandum (JROCSM) identifying the document or program as JROC special interest.

b. Joint Staff and Defense Intelligence Agency (DIA). The Joint Staff and DIA provide an important review, coordination, and certification function in support of the MNS, CRD, and ORD validation and approval process. These functions include interoperability requirements certification, intelligence certification, threat validation, aviation munitions interoperability and munitions insensitivity certification, and the staffing of all documents that the JROC reviews.

(1) Director, J-2, Joint Staff, and Director, DIA

(a) Threat Validation. DIA will provide threat validation appropriate to the projected lifespan of the system on intelligence information used in potential ACAT I and JROC special interest MNSs, CRDs, and ORDs. DOD components may validate intelligence information for their own ACAT II and below programs using DIA-validated threat data and/or data contained in DOD Intelligence Production Program documents.

(b) Intelligence Certification. DIA will certify all MNSs, CRDs, ORDs, regardless of ACAT level, for intelligence supportability and impact on joint intelligence strategy, policy, and architecture planning. The DIA certification will also evaluate open systems architecture, interoperability, and compatibility standards for intelligence handling and intelligence-related information systems. DIA will forward intelligence certification to the JROC for ACAT I and JROC special-interest programs or to the sponsoring DOD component or agency for ACAT II and below. Unresolved intelligence issues will be forwarded by DIA to the Military Intelligence Board (MIB) for resolution. The Director, DIA, will ensure that unresolved issues resulting from intelligence assessments are presented to the JROC for resolution at each milestone review.

(c) C4I Support Plans (C4ISP). J-2 and DIA will review and assess ISR requirements and supportability in the C4ISP as described in reference b. DIA/J2 will forward certification of intelligence requirements supportability to ASD(C3I). A sample C4ISP is contained in reference q.

(2) Director, J-3, Joint Staff. J-3 is the Office of Primary Responsibility for the Global Command and Control System (GCCS) and common operational picture (COP). IAW CJCSI 6721.01 (reference k). J-3 will review all GCCS functional requirements identified in ORDs.

(3) Director, J-4, Joint Staff

(a) Aviation Munitions. J-4 will certify all potential ACAT I MNSs and ORDs for aviation munitions for cross-Service interoperability.

(b) Insensitive Munitions. J-4 will certify that all ORDs for munitions, regardless of ACAT level, contain the requirement to conform with insensitive munitions (unplanned stimuli) criteria. As a minimum, these ORDs will contain the statement "Munitions used in this system will be designed to resist insensitive munitions threats (unplanned stimuli)."

(c) Insensitive Munitions Waiver Requests. Insensitive munitions and cross-Service interoperability waiver requests require approval by the JROC. Waiver requests will be submitted to J-4 for review and then forwarded to the JROC secretariat for JROC consideration.

(4) Director, J-6, Joint Staff

(a) Interoperability Requirements Certification. J-6 will certify MNSs, CRDs, and ORDs, regardless of ACAT level, for conformance with joint C4 policy and doctrine, technical architectural integrity, and interoperability standards. J-6 will review and comment on Interoperability key performance parameters (KPPs) and coordinate C4 issues concerning MNSs, CRDs, and ORDs with the appropriate agencies IAW reference i as directed by references m and n. The J-6 will forward C4 interoperability requirements certification to the JROC for ACAT I/IA and JROC special-interest programs or to the sponsoring DOD component for ACAT II and below programs. Unresolved interoperability issues will be forwarded by J-6 to the Military Communications-Electronics Board (MCEB) for resolution. The MCEB will ensure that unresolved issues resulting from interoperability assessments are presented to the JROC for resolution.